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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/866,877	05/30/2001	Jesse Ambrose	SIEB019/01US	4487
22903	7590	09/08/2004	EXAMINER	
COOLEY GODWARD LLP ATTN: PATENT GROUP 11951 FREEDOM DRIVE, SUITE 1700 ONE FREEDOM SQUARE- RESTON TOWN CENTER RESTON, VA 20190-5061			BURGE, LONDRA C	
			ART UNIT	PAPER NUMBER
			2178	

DATE MAILED: 09/08/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/866,877

**Applicant(s)**

AMBROSE ET AL.

**Examiner**

Londra C Burge

**Art Unit**

2178

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 30 May 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-14 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>5/13/02</u> .   | 6) <input type="checkbox"/> Other: _____                                    |

**DETAILED ACTION**

1. This action is responsive to communications: Original application and IDS filed 5/30/2001.
2. Claims 1-14 are pending. Claims 1 and 9 are independent claims.

***Claim Rejections - 35 USC § 103***

3. **The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:**

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. **Claims 1-14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Agarwal et al. (herein after Agarwal) U.S. Patent No. 5,842,196 files 4/3/1996 provided by the applicant in view of Faustini U.S. Patent No. 5,842,020 files 1/31/1997 provided by the applicant.**

**In regard to independent claim 1, Agarwal discloses *a client server system comprising a thin client interface residing on at least one client and a an object manager and an application residing on one or more servers, said object manager interposed between said client and said application server* (Agarwal Col 2 Lines 13-15 Col 4 Lines 26-67 and Col 3 Lines 35-46).**

Agarwal does not specifically mention said *application server comprising one or more of business objects, and business components*. However, Faustini mentions business application objects and components (Faustini Col 8 Lines 12-57). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Faustini to Agarwal, providing

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Agarwal the benefit of including servers having business objects and components which would be supported by numerous companies as taught by Faustini Col 8 Lines 40-45.

**In regard to dependent claim 2,** Agarwal discloses *wherein the application server comprises a database server.* (Agarwal Col 2 Lines 13-15)

**In regard to dependent claim 3,** Agarwal does not specifically disclose *wherein object manager run-time engines that operate on the business objects and business components.* However, Faustini mentions business application objects and components (Faustini Col 8 Lines 12-57) and a run time environment (Faustini Col 7 Lines 39-46). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Faustini to Agarwal, providing Agarwal the benefit of including servers having business objects and components on a run time environment, which would be supported by numerous companies as taught by Faustini Col 8 Lines 40-45.

**In regard to dependent claim 4,** Agarwal does not specifically disclose *wherein the business objects and business components comprise applets and application objects.* However, Faustini mentions applets and application object (Faustini Title and Col 8 Lines 12-57). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Faustini to Agarwal, providing Agarwal the benefit of having applets and application objects, which would be supported by numerous companies as taught by Faustini Col 8 Lines 40-45.

**In regard to dependent claim 5,** Agarwal discloses *rules* for object manager run time engines. (Agarwal Col 6 Lines 5-15 i.e. instructions)

Agarwal does not specifically disclose *wherein object manager run time engines enforce repository-defined business processes and rules.* However, Faustini mentions business

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application objects and components (Faustini Col 8 Lines 12-57) and a run time environment (Faustini Col 7 Lines 39-46). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Faustini to Agarwal, providing Agarwal the benefit of including servers having business objects and components on a run time environment, which would be supported by numerous companies as taught by Faustini Col 8 Lines 40-45.

**In regard to dependent claim 6,** Agarwal discloses *having application objects executing on the client.* (Agarwal Col 2 Lines 13-25)

**In regard to dependent claim 7,** Agarwal discloses *having user interface objects executing on the client.* (Agarwal Col 4 Lines 10-13 and Col 2 Lines 13-25)

**In regard to dependent claim 8,** Agarwal discloses *comprising session-based network protocols connecting the client to the object manager.* (Agarwal Col 2 Lines 13-25 Col 4 Lines 26-67 and Col 3 Lines 35-46 and Col 5 Lines 28-33)

**In regard to dependent claim 9,** Agarwal discloses *a method of connecting a client and one or more servers in a client server network, wherein said client is a thin client, and said one or more servers comprise an object manager and an application residing on one or more servers, said object manager interposed between said client and said application server and establishing a session based network connection between the thin client and the one or more servers* (Agarwal Col 2 Lines 13-25 Col 4 Lines 26-67 and Col 3 Lines 35-46 and Col 5 Lines 28-33).

Agarwal does not specifically mention said *and said application server comprising one or more of business objects, and business components, instantiating said one or more business objects.* However, Faustini mentions business application objects and components (Faustini Col

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8 Lines 12-57). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Faustini to Agarwal, providing Agarwal the benefit of including servers having business objects and components which would be supported by numerous companies as taught by Faustini Col 8 Lines 40-45.

**In regard to dependent claim 10**, claim 10 in addition to the following reflects similar subject claimed in claim 3 and is rejected along the same rationale. (Agarwal Abstract i.e. method)

**In regard to dependent claim 11**, claim 11 in addition to the following reflects similar subject claimed in claim 4 and is rejected along the same rationale. (Agarwal Abstract i.e. method)

**In regard to dependent claim 12**, claim 12 in addition to the following reflects similar subject claimed in claim 5 and is rejected along the same rationale. (Agarwal Abstract i.e. method)

**In regard to dependent claim 13**, claim 13 in addition to the following reflects similar subject claimed in claim 6 and is rejected along the same rationale. (Agarwal Abstract i.e. method)

**In regard to dependent claim 14**, claim 14 in addition to the following reflects similar subject claimed in claim 7 and is rejected along the same rationale. (Agarwal Abstract i.e. method)

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***Conclusion***

5. **The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.**

Iwamoto et al.	U.S. Patent No. 5,504,888	issued	4/2/1996
Ghosh et al.	U.S. Patent No. 5,265,244	issued	11/23/1993

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Londra C Burge whose telephone number is (571) 272-4122.

The examiner can normally be reached on 8:30am to 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Stephen Hong can be reached on (571) 272-4124. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

**Any response to this action should be mailed to:**

Commissioner of Patents and Trademarks  
Washington, DC 20231

**Or faxed to:**

**(703) 746-7239** (for formal communications intended for entry)

**Or:**



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**(703) 746-7240** (for informal or draft communications, please label  
"PROPOSED" or "DRAFT")

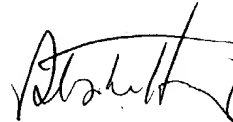
**Or:**

**(703) 746-7238** (for after-final communications)

**Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive,  
Arlington, VA, Fourth Floor (Receptionist).**

Londra C. Burge

9/2/04



**STEPHEN S. HONG  
PRIMARY EXAMINER**